



PATENTS  
CF/012

0300

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicants : Stuart Harris et al.  
Application No.: 09/755,591 Confirmation No.: 3838  
Filed : January 5, 2001  
For : SYSTEMS AND METHODS FOR MONITORING  
CREDIT OF TRADING COUNTERPARTIES  
Group Art Unit : 2164  
Examiner : Not yet assigned

Commissioner for Patents New York, New York 10020  
Washington, D.C. 20231 March 9, 2001

Attention: BOX PGPUB DRAWINGS

PETITION UNDER 37 C.F.R. § 1.182  
FOR ENTRY OF THE DRAWINGS

Sir:

Pursuant to 37 C.F.R. § 1.182, applicants hereby petition for entry of the enclosed drawings (21 sheets, Figs. 1-21) in the publication of this patent application. A check in the amount of \$130.00, in payment of the fee set forth in 37 C.F.R. § 1.17(h), is enclosed herewith.

The Commissioner is hereby authorized to charge any additional extension fee due, or credit any overpayment, in connection with this Petition, to Deposit

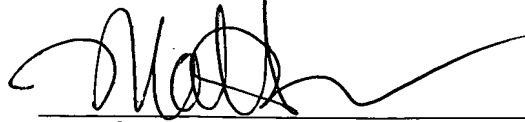
The PTO did not receive the following  
listed item(s) a check for 130.00

03/19/2001 HVUJ61 00000002 061075 09755591

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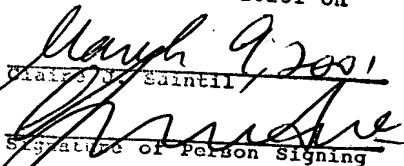
Account No. 06-1075. A duplicate copy of this Petition  
is enclosed herewith.

Respectfully submitted,



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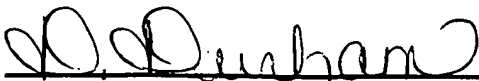
Fish and Neave  
50<sup>th</sup> Floor  
1251 Avenue of the Americas  
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Dear Applicant:

The Box PGPub replacement drawings for application number 09/755,591 received on 3/16/01 by the U. S. Patent and Trademark Office will be included for patent publication.

Telephone inquiries should be directed to Customer Service, Office of Initial Patent Examination, at 703-308-1202.

09755591.034601



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Signature of Reviewer, Office of Initial Patent Examination

1/21

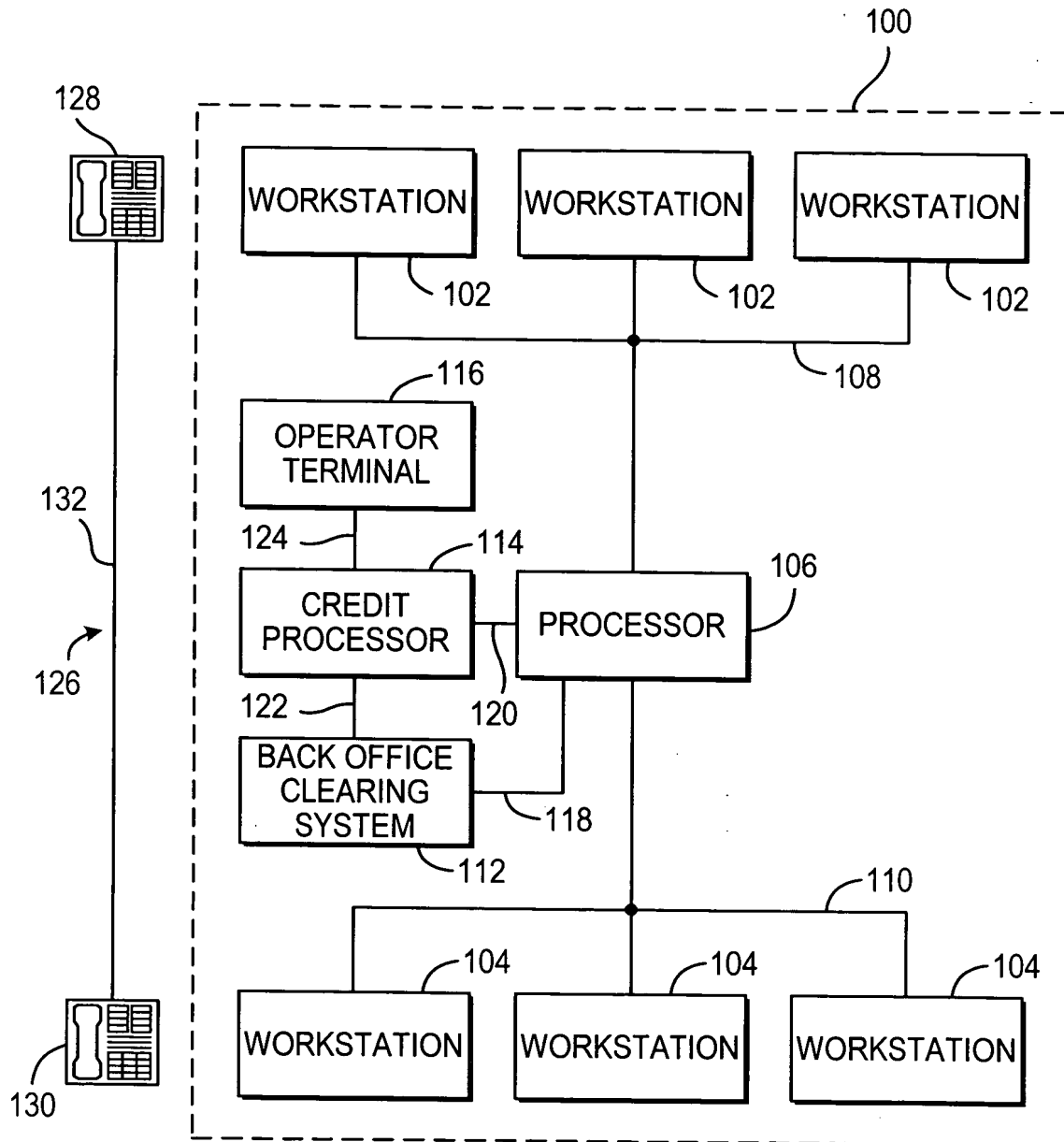
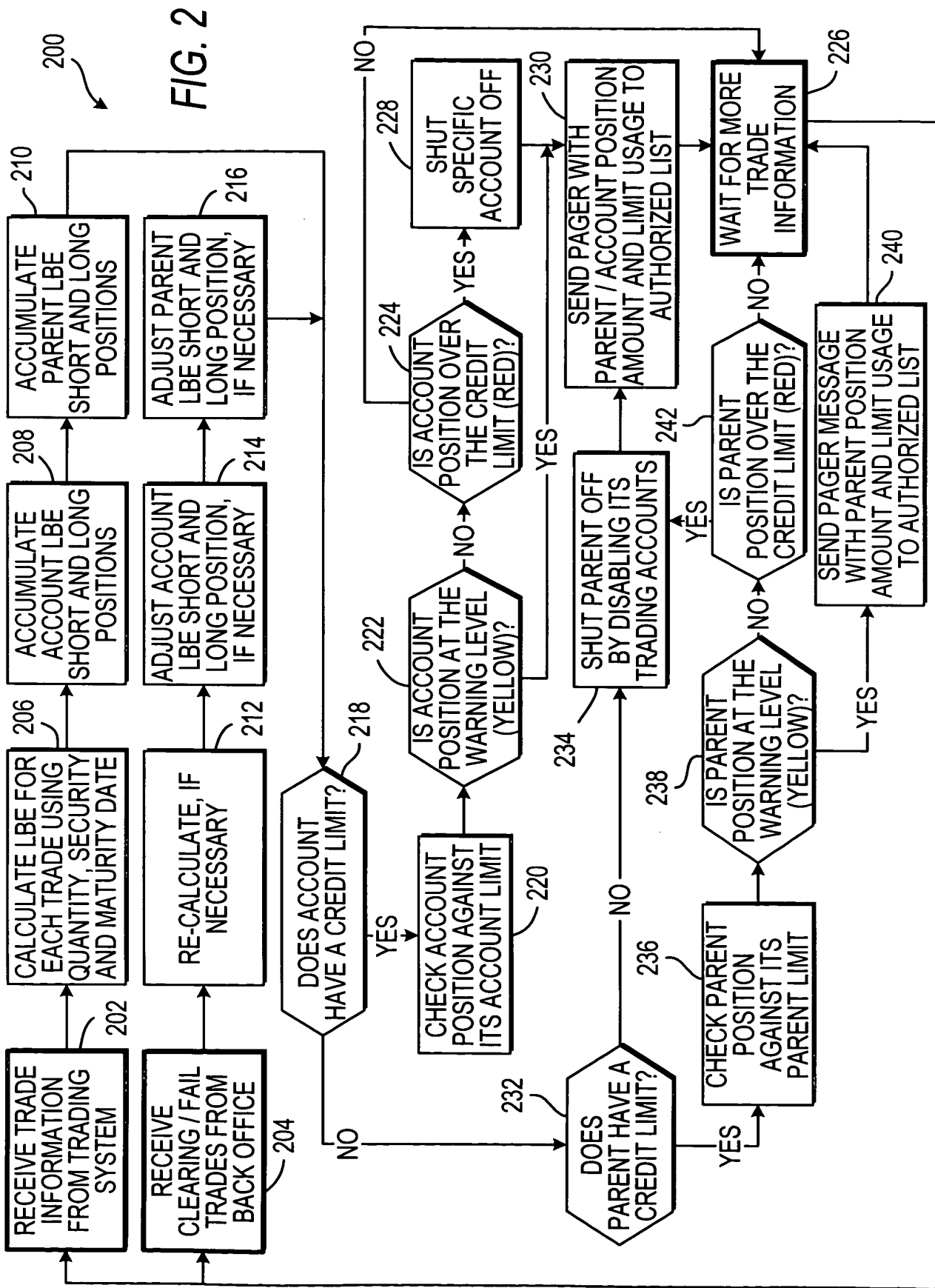


FIG. 1

2/21



3/21

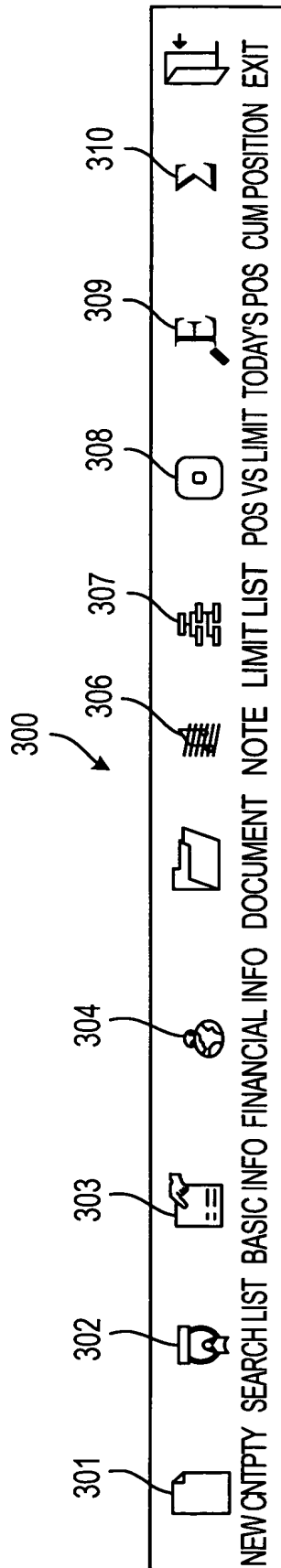


FIG. 3

FILED: 16555460

4/21

EDIT BASIC INFORMATION FOR COUNTERPARTY

**BASIC INFORMATION**

COUNTERPARTY ID: 1788 CREDIT STATUS: FROZEN

COUNTERPARTY NAME: REPUBLIC TRADING

SHORT NAME: RETRADE

DATE FORMED: 010/00/0000 RPT CNTRY CDE: TOGO

TAX NBR: 123 456 7890 NBR BRANCHES: 9

TYPE: OPARENT LEGAL ENTITY

PARENT NAME: REPUBLIC HOLDINGS

DATE MODIFIED: 08/12/1999 17:01:11 USER MODIFIED: J.JONES

**ADDRESS INFORMATION**

TYPE: CREDIT MAILING

ADDR STREET1: 1 MAIN STREET

ADDR STREET2: SUITE 100

CITY: NEW YORK

STATE: NY POSTAL CODE: 10001

COUNTRY: UNITED STATES

GEO REGION: NORTH AMERICA

**CONTACT INFORMATION**

NAME: JOHN SMITH DEPT: ACCOUNTING

PHONE: 555 - 1234 TITLE: VP

**PARENT INFORMATION**

PARENT ID: 1661 CLASSIFICATION: HOLDINGS COMPANY

PARENT NAME: REPUBLIC HOLDINGS

STATE: ITALY COUNTRY: ITALY

GEO.REGION: EUROPE

**DESCRIPTOR INFORMATION**

CLASSIFICATION PRIMARY DEALER

LINK TO: CONTACT ADDRESS DESCRIPTOR

SAVE CLOSE

FIG. 4

5/21

500

COUNTERPARTY CONTACT INFORMATION

502

REPUBLIC TRADING

504

CONTACT INFORMATION

518

520

FIRST NAME: JOHN CONTACT ID: 76

522

LAST NAME: SMITH USER MODIFIED: VCOUGHLI

506

GENDER: M OF DATE MODIFIED: 12/22/1999 16:05:22

510

DEPT: ACCOUNTING

512

TITLE: VP POSITION: CREDIT MANAGER

514

PHONE: 212 555-1234

524

SAVE

526

DELETE

528

CLOSE

FIG. 5



6/21

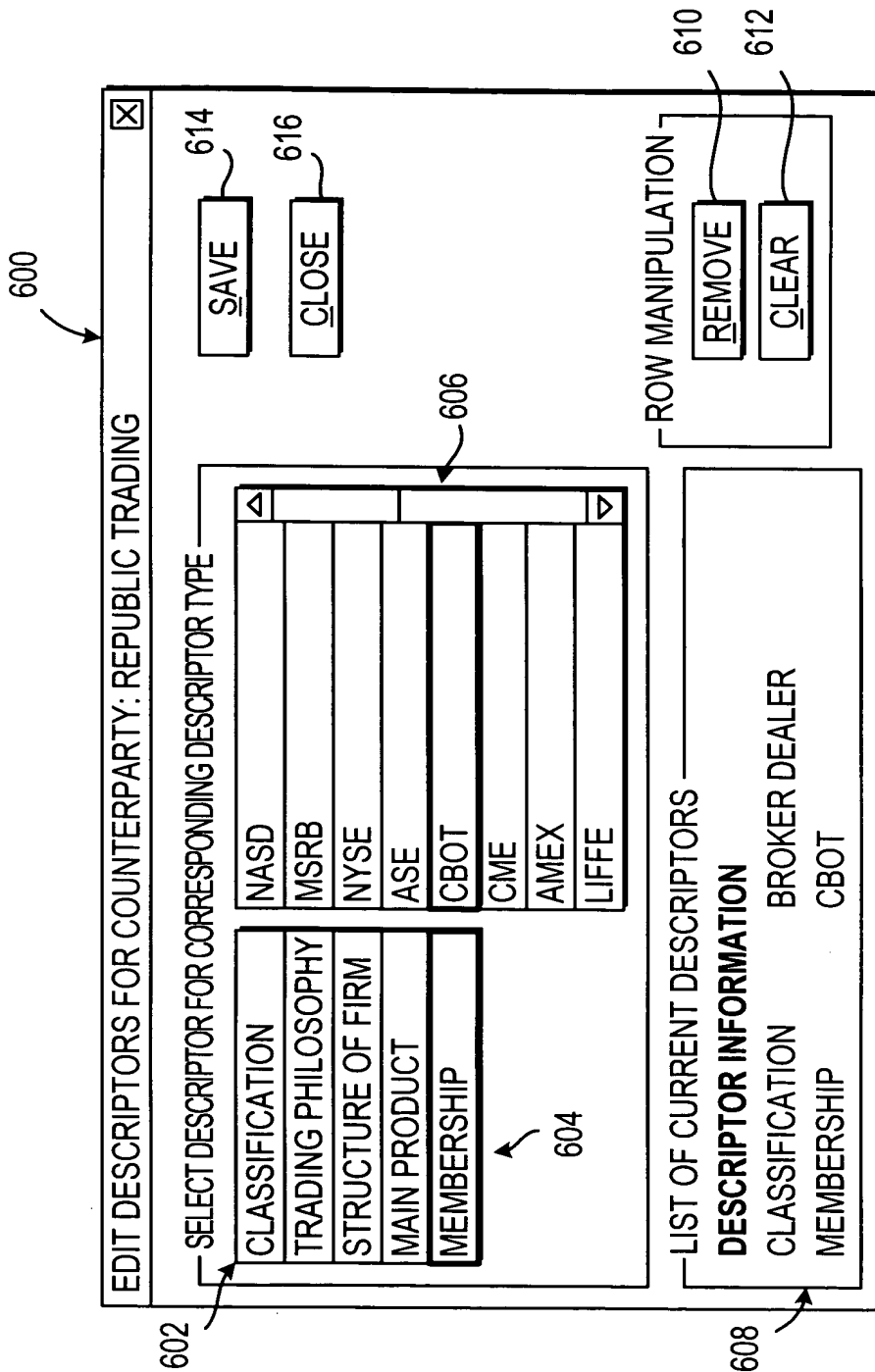


FIG. 6

7/21

700

SELECT COUNTERPARTY

VIEW OPTIONS

☒ COUNTERPARTY LIST  
☐ PARENT TREEVIEW

706 708 710 712 714 716 718 720 722 724

ID	COUNTERPARTY NAME	CLASSIFICATION	CREDIT STATUS	STATE	CNTRY	GEO. REGION	TYPE	RPT COUNTRY	PARENT NAME
1788	REPUBLIC TRADING	PRIMARY DEALER	FROZEN	NY	UNITED STATES	NORTH AMERICA	LE	TOGO	REPUBLIC HOLDING
1791	READY TRADE	PRIMARY DEALER	OPEN	NY	UNITED STATES	NORTH AMERICA	LE	READY ENTERPRISES	
845	RESEARCH FINANCIAL	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	NORTH AMERICA	LE		
836	REPOS UNLIMITED	UNCLASSIFIED	ACTIVE	NY	UNITED STATES	NORTH AMERICA	P		

726 728 730 732 734 736 738 740 742 744 746

ROW COUNT 20

750 752 754 756 758 760

FIG. 7

**SELECT COUNTERPARTY**

**VIEW OPTIONS**

☐ COUNTERPARTY LIST

☒ PARENT TREEVIEW

**PARENT TREEVIEW LIST**

- + 1661 REPUBLIC HOLDINGS
- 1665 READY ENTERPRISES
- 1791 READY TRADE
- 845 RESEARCH FINANCIAL
- 836 REPOS UNLIMITED

**LEGAL ENTITY LIST**

**ADDITIONAL INFORMATION**

**COUNTERPARTY INFORMATION**

COUNTERPARTY ID: 845 CLASSIFICATION: UNCLASSIFIED

COUNTERPARTY NAME: RESEARCH FINANCIAL

STATE: NY COUNTRY: UNITED STATES

GEO. REGION: NORTH AMERICA

**LAST FINANCIAL STATEMENT**

STATEMENT ID: 65 DATE: 12/22/1999 STATUS: AUDITED

**PARENT INFORMATION**

PARENT ID: CLASSIFICATION:

PARENT NAME: STATE: COUNTRY:

GEO. REGION:

**SELECT** **CLOSE**

FIG. 8

900

9/21

FINANCIAL STATEMENTS

REPUBLIC TRADING

STATEMENT DETAIL

STATEMENT ID: 65    STMNT DT: 12/22/1999

DT MODIFIED: 12/22/1999 16:10:30    STATUS: AUDITED

USER ID: VCOUGHLI    CURRENCY: USD

STATEMENT LIST

ID	STMNT	DT	STMNT	STATUS	CRCNY	ID	USER	DT	MODIFIED
65	12/22/1999	AUDITED	USD	VCOUGHLI	12/22/1999 16:10:30				

906

CASH/CASH EQUIVALENTS    66,000

SECURITIES OWNED    88,000

SECURITIES BORROWED    77,000

REVERSE REPOS    55,666

RECEIVABLE FROM B/D    76,576

FAILED TO DELIVER    999

RECEIVABLE - OTHER    6,777

REPO    9,999

SECURITIES LOANED    8,888

BANK LOANS    7,777

PAYABLE TO B/D    7,654

PAYABLE TO CLEARING AGENT    33

LESS TREASURY STOCK    555

666

☐ SHOW ALL

☐ CREATE ACC STMNT

☐ MODIFY ACC STMNT ORDER

908    910    912    914    916

FIG. 9

**MODIFY FINANCIAL STATEMENT**

---

— REPUBLIC TRADING —

CURRENT STMTNT: 65	1010	STATUS:	AUDITED	1006
STMTNT DT:	[12/22/1999]	CRNCY:	USD	1008

CASH/CASH EQUIVALENTS	66,000
SECURITIES OWNED	88,000
SECURITIES BORROWED	77,000
REVERSE REPOS	55,666
RECEIVABLE FROM B/D	76,576
RECEIVABLE FROM CUSTOMER	
FAILED TO DELIVER	999
RECEIVABLE - OTHER	6,777
OTHER	
<b>TOTAL ASSETS</b>	<b>371,018</b>

1012  
 1014

11/21

FIG. 11

1100

NOTE INFORMATION

REPUBLIC TRADING

NOTE TYPE LIST TYPE: GENERAL

NOTE ID	USER MODIFIED	DATE MODIFIED
#21	JONES	12/10/1999 13:58:34

1110

1106

1108

1104

1112

1114

SHOW ALL DELETE TYPE

1116

CREATE NEW TYPE

1118

1120

1122

1124

1126

SAVE DELETE NEW REFRESH CLOSE

12/21

1202 COUNTERPARTY LIMIT LIST 1208 1210 1200

1212 SUBCATEGORY LIST 1206

US TREASURY  
CX FUTURES  
EMERGING MARKETS  
INTERNATIONAL DEBT

US DEBT MARKETS  
US DEBT MARKETS  
CF INTERNATIONAL

OPTIONS  
☒ SELECT ALL  
☐ UNSELECT ALL

RETRIEVE 1214 1216

NAME SEARCH:  ☒ CNTPTY W/O LIMIT

LIMIT: COUNTERPARTY LEVEL DATE: 12/22/1999 16:20:23 PAGE 83 OF 151

CNTPT	NAME	SUBCATEGORY	LIMIT	ACC LIMIT	LBE NET LIMIT	LBE GROSS LIMIT	PRIN NET LIMIT	PRIN GROSS LIMIT
845	RESEARCH FINANCIAL	US TREASURY	PRESUMED STLM	<input type="checkbox"/>	1,000,000	5,000,000		
845	RESEARCH FINANCIAL	CX FUTURES	PRESUMED STLM	<input type="checkbox"/>	1,000,000	5,000,000		

1204

ROW COUNT 20 1218

☐ UPDATE MODE 1220

SAVE 1222 ACCOUNT LIMIT 1224 PRINT 1226 EXPORT 1228 CLOSE 1230

FIG. 12

13/21

1304

1300

1306

ACCOUNT LIMIT LIST

REPUBLIC TRADING	CNTRPTY LVL LIMIT FOR US TREASURY	4 ACCOUNT(S) WITHOUT ACCOUNT LEVEL LIMIT: CNTRPTY LEVEL LIMIT IS APPLIED	EXPORT	PRINT	
LBE NET: 9,000,000	MTM NET: 0	CURRENT LIMIT TYP: PRESUMED STLM	ACCT#	ACCOUNT NAME	
LBE GROSS: 6,000,000	MTM GROSS: 0	NEW LIMIT TYP: PRESUMED STLM	31037	REPUBLIC TRADING U559 KH	
VAR NET: 0	PRINL NET: 0	INIT WARNING%: 70	INTRVL% 10	REPUBLIC TRADING G123 KH	
VAR GROSS: 0	PRINL GROSS: 0	USER MODIFIED:	31035	REPUBLIC TRADING G122 KH	
CURRENCY: USD	IND LIQUID: <input checked="" type="checkbox"/>	SHUT OFF: <input checked="" type="checkbox"/>	DATE MODIFIED: 08/06/1999 13:02	31034	REPUBLIC TRADING G121 KH

1302

ACCOUNT	ACCOUNT NAME	ACTIVE	SHUTOFF	LBE NET LIMIT	LBE GROSS LIMIT	PRIN NET LIMIT	PRIN GROSS LIMIT	MTM NET LIMIT	MTM GROSS LIMIT
1789	REPUBLIC TRADING (BOB)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1,000,000	2,000,000	0	0	0	0
1790	REPUBLIC TRADING (MIKE)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1,000,000	2,000,000	0	0	0	0

1308

ROW COUNT [ 2 ]

UPDATE MODE

SAVE

MODIFY

NEW

REFRESH

PRINT

EXPORT

CLOSE

1310

1311

1312

1314

1316

1318

1320

FIG. 13



14/21

FIG. 14

ENTER LIMIT

LIMIT SUBCATEGORY:

CURRENT LIMIT TYPE:

LBE NET LIMIT:  ☐ MAX

LBE GROSS LIMIT:  ☐ MAX

VAR GROSS LIMIT:  ☐ MAX

VAR NET LIMIT:  ☐ MAX

MTM GROSS LIMIT:  ☐ MAX

MTM NET LIMIT:  ☐ MAX

PRINCIPAL GROSS LIMIT:  ☐ MAX

PRINCIPAL NET LIMIT:  ☐ MAX

ID CURRENCY:

INTAL WARNING LEVEL:  %

WARNING INTERVAL:  %

IND LIQUIDATE: ☐ YES ☐ NO

IND SHUT OFF: ☐ YES ☐ NO

USER MODIFIED:

DATE MODIFIED:

SAVE CLOSE

15/21

1504
1506 1510 1508
1500
1512
1514

POSITION VS LIMIT

LIMIT CATEGORY  
☐ US DEBT MARKETS

LIMIT SUBCAT  
☐ US TREASURY  
☐ CX FUTURES

POSITION VS LIMIT DATE 12/09/1999 14:04:07 PAGE 1 OF 1

OPTIONS  
☒ SELECT ALL  
☐ UNSELECT ALL

RETRIEVE

REFRESH  
☒ MANUAL  
☐ AUTO EVERY 30 SEC

CNTRPTY	NAME	LIMIT TYPE	NEW LIMIT TYPE	LIMIT SUBCAT	SHUT OFF	% INIT	QTY	LBE NET POSITION	LBE NET LIMIT	% LBE NET
1788	REPUBLIC TRADING	PRESUM STLMT	PRESUM STLMT	CX FUTURES	<input type="checkbox"/>	70	400,000,000	40,000,000	200,000,000	20.00

ROW COUNT 1

ACCOUNT

TRANSACTION

PRINT

CLOSE

1502
1516
1518
1520

FIG. 15

16/21

POSITION VS LIMIT ACCOUNT DETAIL

☐ ☐ ☐

READY TRADE

ACCOUNT LEVEL POSITION VS. LIMIT FOR CX FUTURES DATE: 12/22/1999 16:38:41 PAGE 1 OF 1

ACCOUNT #	ACCOUNT NAME	ACTIVE	SHUT OFF	%INIT	QUANTITY	LBE NET POSITION	%LBE NET	LBE GROSS POSITION	LBE GROSS LIMIT
TOTAL:					101	-7,795,276		7,952,756	
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	<input type="checkbox"/>		50	-3,937,008	0.00	3,937,008	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	<input type="checkbox"/>		51	-3,858,268	0.00	4,015,748	

ROW COUNT

2

PRINT

EXPORT

CLOSE

1604

FIG. 16

1602

1600

1601

17/21

1700

1704

POSITION VS LIMIT

READY TRADE

CX FUTURES: LIMIT VS POSITION TRANSACTIONS DATE: 12/22/1999 16:37:19 PAGE 1 OF 1

ACCOUNT ID	ID SECURITY	NM SECURITY	QUANTITY	LBE	PRINCIPAL	PRICE	MTM/VAR	TRADE ID	ORCTR	TR ROOM	BUY/SELL	STAT	FAIL
TOTAL:			101	-7,795,276	10,000								
9587	8 199906		25	-1,968,504	2,475	99.0000		1999101401169200002	2		SE	HD	ELB
9587	8 199906		25	-1,968,504	2,475	99.0000		1999101401169300002	2		SE	HD	ELB
9589	8 199906		25	-1,968,504	2,475	99.0000		1999101401169400002	2		SE	HD	ELB
9589	8 199906		25	-1,968,504	2,475	99.0000		1999101401169500002	2		SE	HD	ELB
9587	8 199906		1	78,740	100	100.3438		1999101401169000001	2		BU	HD	ELB

ROW COUNT 5

PRINTEXPORTCLOSE

1706

FIG. 17

1702

18/21

1800

1806

1804

1802

1810

1808

SELECT LIMIT CAT  
US DEBT MARKETS ▾

SUBCAT LIST  
US TREASURY  
CX FUTURES

OPTIONS  
◉ SELECT ALL  
○ UNSELECT ALL  
RETRIEVE

REFRESH  
◉ AUTOMATIC EVERY 30  
○ MANUAL  
GO

TODAY'S POSITION DATE: 12/22/1999 16:44:21 PAGE 1 OF 18

ID	COUNTERPARTY NAME	LIMIT	QUANTITY	LBE NET POSITION	LBE GROSS POSITION	LBE LONG POS	LBE SHORT POS	VAR NET POSITION
TOTAL:			35,452	0	2,984,722,799	1,492,361,400	1,492,361,400	0
1784	READY TRADE	CX FUTURES	101	-7,795,276	7,952,756	78,740	7,874,016	0

ROW COUNT 1

ACCOUNT TRANSACTION PRINT CLOSE

CLOSE

FIG. 18

19/21

TODAY'S ACCOUNT POSITION

READY TRADE

TODAY'S ACCOUNT POSITION FOR CX FUTURES DATE: 12/22/1999 16:45:24 PAGE 1 OF 1

ACCT#	ACCOUNT NAME	ACTIVE	QTY	LBE NET	LBE GROSS	LONG POS	SHORT POS	MTM NET
TOTAL:			101	-7,795,276	7,952,756	78,740	7,874,016	
9587	ELECTRONIC 9587	<input checked="" type="checkbox"/>	51	-3,858,268	4,015,748	78,740	3,937,008	
9589	ELECTRONIC 9589	<input checked="" type="checkbox"/>	50	-3,937,008	3,937,008	0	3,937,008	

ROW COUNT 2

PRINT EXPORT CLOSE

1900

FIG. 19

1902

20/21

2002
2004
2006
2000

**CUMULATIVE POSITION**

**LIMIT CATEGORY**

US DEBT MARKETS

**LIMIT SUBCATEGORY**

US TREASURY  
CX FUTURES

**OPTIONS**

☒ SELECT ALL  
☐ UNSELECT ALL

**REFRESH**

☒ AUTOMATIC EVERY 30  
☐ MANUAL

**GO**

**RETRIEVE**

CUMULATIVE POSITION DATE: 12/22/1999 16:44:58 PAGE 1 OF 86									
ID	COUNTERPARTY	LIMIT	QUANTITY	LBE NET	LBE GROSS	LBE LONG	LBE SHORT	VAR NET	
CNTPTY	NAME	SUBCATEGORY		POSITION	POSITION	POS	POS	POSITION	
TOTAL:			3,802,635,452	181,028,943	5,632,923,827	2,906,976,385	2,725,947,442	0	
606	READY TRADE	US TREASURY	45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	0	
<div style="display: flex; justify-content: space-between;"> <span>4</span> <span>10</span> </div>									

**ROW COUNT**

20

**ACCOUNT**

**TRANSACTION**

**PRINT**

**CLOSE**

2010

FIG. 20

21/21

CUMULATIVE ACCOUNT POSITION

READY TRADE

CUMULATIVE ACCOUNT POSITION FOR US TREASURY DATE: 12/22/1999 16:48:09 PAGE 1 OF 1

ACCT#	ACCOUNT NAME	ACTIVE	QTY	LBE NET	LBE GROSS	LONG POS	SHORT POS	MTM NET
TOTAL:			45,000,000	-1,562,500	23,437,500	10,937,500	12,500,000	
9991	BOB	<input checked="" type="checkbox"/>	15,000,000	-1,562,500	7,812,500	3,125,000	4,687,500	
1031	MIKE	<input checked="" type="checkbox"/>	30,000,000	0	15,625,000	7,812,500	7,812,500	

4

ROW COUNT 2

PRINTEXPORTCLOSE

FIG. 21

2104

2102